# Case 3:19-cv-00208-GMG Document 10-6 Filed 06/04/20 Page 1 of 8 Page ID #: 361 Bureau of Alcohol, Tobacco, Firearms and Explosives Fire

T 7	9		
1	Ħ	MA	4
8	1	1 N	6.1

(l	VARMING: You may not receive a firearm if pro- letermine whether you are prohibited from recei- t, seq., are punishable by up to 10 years imprison	ving a firearm.	Certain viol	ations of the (	ormation you p Gun Control A	provide will be use et. 18 U.S.C. 921	Transa	ction S	erial
in	ncludes business temporarily conducted from a quo ocated) unless the transaction qualifies under 18 t	alifying gun sho U.S.C. 922(c),  A	w <i>or event in</i> Al entries mu	<i>the same Stat</i> ist be handwr	te in which the i litten in ink. "I	licensed premises PLEASE PRINT.	is !	14	6
1. L.	Transferee's Buyer's Full Name (If legal name ast Name (Incheding suffix (e.g., Ir. Sr. II, III))  Hoff man	First Name	itial only, rec 1 <b>4m</b>	cord "IO" afte	er the initial. I	f no middle initia Middle Name <b>Lore</b> g	or name, record	"NIN"	
2. N	<ul> <li>Current State of Residence and Address (U,S) Sumber and Street Address</li> </ul>	i. Postal abbrev   City	viations are	acceptable.			i Cara	i 710 /	
	Redacted		1	an lal	fine.  Only at the licensed premises ("licensed premises" e sume State in which the licensed premises ("steensed premises" e sume State in which the licensed premises ("State in which in link," PLEASE PRINTE." ("State in which in lin				
3.	Place of Birth	Minesty	1. Height	OF O		A	$\omega$	25	10/
	LS. City and State -OR-   Foreign Co	ountry	Ft. 6		1	. •		enr	
1	Amons Pass Te	-	In. a	200	, ,				
8.	Social Security Number (Optional, but will help to Redacted		ification)	9. Unique Instructions	for Question !	fication Number	(LPIN) if applicat 2) よっ	ble /Sce	
(1)	¬ ,,, , , , , , , , , , , , , , , , , ,					oth 10,a, and 10,		ed.)	
0	Not Hispanie or Latino Asian	dian or Alaska l		Native Hawa	niian or Other I		White		
11. a.	Answer the following questions by checking of Are you the actual transferce buyer of the firea	r marking "yes" rm(s) listed on	" <i>or "no"</i> in	the boxes to t	he right of the	questions.	75	Yes	No
	are acquiring the firearm(s) on behalf of and	other person. <i>vicking up a rep</i>	If you are n paired firear,	ot the actual	transferee/bu	ver, the licensee	cannot transfer	ez	
h.	Are you under indictment or information in an more than one year? See Instructions for Que	y court for a fel stion 11.h.i	ony, or any	other crime fo	or which the ju	dge could imprise	m you for		×
e.	Have you ever been convicted in any court of a than one year, even if you received a shorter se	a <b>felony</b> , or any entence includin	other crime g probation.	for which the	gudge could ha	ave impresoned y	ou for more		K
d.	Are you a fugitive from justice? tSee Instruction	ms for Question	1 11.d.i					1	X
3.	Are you an unlawful user of, or addicted to, ma	ırijuana or any c	lepressant, st	timulant, nare	otic drug, or a	ry other controlle	ed substance?	+	xt
	Warning: The use or possession of marijuar decriminalized for medicinal or recreational	na remains unla purposes in th	awful under e state wher	Federal law re you reside	regardless of	whether it has b	oeen legalized or		7
	Jor Question 11.1,1				d to a mental i	nstitution? 15ee i	Instructions		\(\overline{\pi}\)
	Have you been discharged from the Armed For								Z
	such partner! (See Instructions for Question I	$(h_i)$							X
i.	Have you ever been convicted in any court of a	misdemeanor	crime of don	nestie violene	e", 18ec Insimi	ctions for Questi	on H.i.i		V
2.a	a. Country of Citizenship: (Check List more that United States of America (U.S.4)	<i>m one, if applie</i> Other Country C			ited States may	ccheck L.S.L.i		1	
2.b	b. Have you ever renounced your United Sta	ites citizenship'?	, , , , , , , , , , , , , , , , , , ,					Yes	
2.c								計	7
2.d	1.1. Are you an alien who has been admitted to	the United Sta	ites under a i	nonimmigrant	t visa? (See Ins	tructions for Que	stion 12.d.)	tat	7
2.d		eptions stated ir	the instruct	ions?			, jt		
3.	If you are an alien, record your U.SIssued Alien	or Admission n	iumber (.4R=	. USCIS=, or .	194=):		<b>1</b>		
	ious Editions Are Obsolete e 1 of 6	Transferee/ STAPLE IF F	Buyer Con PAGES BEC	tinue to Next COME SEPA	Page RATED		ATF Form 4473 (536) Revised October 2016		

I certify that my answers in Section A are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. I understand that answering "yes" to question 11.a. if I am not the actual transferee/buyer is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I understand that a person who answers "yes" to any of the questions 11.b. through 11.i and/or 12.b. through 12.c. is prohibited from purchasing or receiving a firearm. I understand that a person who answers "yes" to question 12.d.1. is prohibited from receiving or possessing a firearm, unless the person answers "yes" to question 12.d.2, and provides the documentation required in 18.c. I also understand that making any false oral or written statement, or exhibiting any false or misrepresented identification with respect to this transaction, is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I further understand that the repetitive purchase of firearms for the purpose of resale for livelihood and profit without a Federal firearms license is a violation of Federal law. (See Instructions for Question 14.) Section B - Must Be Completed By Transferor Seller 16. Type of firearm(s) to be transferred tcheck or mark all that apply: 17. If transfer is at a qualifying gun show or event: Long Gun Other Firearm (frame, receiver, etc. Name of Function: trifles or See Instructions for Question 16.) shotgunsi City, State: 18.a.Identification (e.g., Virginia Driver's license (VADL) or other valid government-issued photo identification, ) (See Instructions for Question 18.a.) Issuing Authority and Type of Identification Number on Identification Expiration Date of Identification (if any) Month Dav Fear E437627 18.b. Supplemental Government Issued Documentation tif identification document does not show current residence address: Ouestion 18.h.i 18.c. Exception to the Nonimmigrant Alien Prohibition: If the transferee buyer answered "YES" to 12.d.2, the transferor seller must record the type of documentation showing the exception to the prohibition and attach a copy to this XTF Form 4473. iSee Instructions for Ouestion 18.5.1 Questions 19, 20, or 21 Must Be Completed Prior To The Transfer Of The Firearm(s) (See Instructions for Questions 19, 20 and 21) 19.a. Date the transferee's buyer's identifying information in Section A was 19.b. The NICS or State transaction number (if provided) was: transmitted to NICS or the appropriate State agency: 19.c. The response initially (first) provided by NICS or the appropriate State 19.d. The following response(s) was were later received from NICS or the appropriate State agency:

Proceed /-/ 2-/ 7 agency was: Proceed. Delayed Proceed [The firearm(s) may be transferred on Denied Denied if State law permits (optional)] Cancelled No response was provided within 3 business days. 19.c. (Complete if applicable.) After the firearm was transferred, the following response was received from NICS or the appropriate State agency on: Proceed Denied Cancelled (date). 19.f. The name and Brady identification number of the NICS examiner, (Optional) 19.g. Name of FFL Employee Completing NICS check. (Optional) 1733 WUYS218 No NICS check was required because a background check was completed during the NFA approval process on the individual who will receive the NFA firearm(s), as reflected on the approved NFA application. (See Instructions for Question 2011) No NICS check was required because the transferee buyer has a valid permit from the State where the transfer is to take place, which qualifies as an exemption to NICS. (See Instructions for Ouestion 21.) Issuing State and Permit Type Date of Issuance vit anniv Expiration Date in anni-Permit Number (if ant) Section C - Must Be Completed Personally By Transferee Buyer If the transfer of the firearm(s) takes place on a different day from the date that the transferee buyer signed Section A, the transferee buyer must complete Section C immediately prior to the transfer of the firearm(s). (See Instructions for Question 22 and 23.) I certify that my answers to the questions in Section A of this form are still true, correct, and complete. 22. Transferee's Buyer's Signature 23. Recertification Date Transferor/Seller Continue to Next Page

STAPLE IF PAGES BECOME SEPARATED

AFF Form 4473 (5300.9) Revised October 2016 ୍ୟୁ / ୨ ୍ର୍ୟୁ ସ୍ଥିୟ ଓ 3:19-cv-00208-GMG Document 10-6 Filed 06/04/20 Page 3 of 8 PageID #: 363

Section D - Mus	st Be Completed By	Transferor /Seller E	ven If The Firearm(s)	is Not Transferred	· · · · · · · · · · · · · · · · · · ·	
24. Manufacturer and Importer (If any) (If the manufacturer and importer are different, the FFL must include both.)	25.	26. Serial Number		27. Type (See Instructions for Question 27.)	28. Caliber or Gauge	
1. Remington 2.	870	C/25758U		Sofu	20gh	
3.						
4.  REMINDER - By the Close of Business	Complete ATF For	rm 3310.4 For Multip	le Purchases of Hand	lguns Within 5 Consecutive	e Business Days	
29. Total Number of Firearms Transferred one, two, three, etc. <b>Do not use numer</b>	cals.)		Line Numt	of this transaction is a pawn per(s) From Question 24 Abo	ve:	
31. For Use by Licensee (See Instructions f	or Question 31.)			saction is to facilitate a privactions for Question 32.)	ite party transfer.	
33. Trade/corporate name and address of tr of FFL Number X-XX-XXXXX) (Hand FRAZ (Ens. Pren SZZ William MAZ+112 Dway G	l stamn may be used	')		in at least first three and last 2 GH -01768	five digits	
The Po	erson Transferring	The Firearm(s) Mu	st Complete Question			
Legrify that: (1) I have read and understand t					otions P and D is	

I certify that: (1) I have read and understand the Notices, Instructions, and Definitions on this ATF Form 4473; (2) the information recorded in Sections B and D is true, correct, and complete; and (3) this entire transaction record has been completed at my licensed business premises ("licensed premises" includes business temporarily conducted from a qualifying gun show or event in the same State in which the licensed premises is located) unless this transaction has met the requirements of 18 U.S.C. 922(c). Unless this transaction has been denied or cancelled, I further certify on the basis of — (1) the transferee's/buyer's responses in Section A (and Section C, if applicable); (2) my verification of the identification recorded in question 18 (and my re-verification at the time of transfer, if Section C was completed); and (3) State or local law applicable to the firearms business — it is my belief that it is not unlawful for me to sell, deliver, transport, or otherwise dispose of the firearm(s) listed on this form to the person identified in Section A.

34. Transferor's Seller's Name (Please print) 35. Transferor's Seller's Signature

36. Transferor's/Seller's Title

37. Date Transferred

NOTICES, INSTRUCTIONS, AND DEFINITIONS

Purpose of the Form: The information and certification on this form are designed so that a person licensed under 18 U.S.C. 923 may determine if he she may lawfully sell or deliver a firearm to the person identified in Section A, and to alert the transferee buyer of certain restrictions on the receipt and possession of firearms. The transferor seller of a firearm must determine the law fulness of the transaction and maintain proper records of the transaction. Consequently, the transferor seller must be familiar with the provisions of 18 U.S.C. 921-931 and the regulations in 27 CFR Parts 478 and 479. In determining the lawfulness of the sale or delivery of a rifle or shotgun to a resident of another State, the transferor seller is presumed to know the applicable State laws and published ordinances in both the transferor's seller's State and the transferoe's buyer's State. (See ATF Publication 5300.5, State Laws and Published Ordinances.)

Generally, ATF Form 4473 must be completed at the licensed business premises when a firearm is transferred over-the-counter. Federal law, 18 U.S.C. 922(c), allows a licensed importer, manufacturer, or dealer to sell a firearm to a nonlicensee who does not appear in person at the licensee's business premises only if the transferee buyer meets certain requirements. These requirements are set forth in section 922(c), 27 CFR 478.96(b), and ATF Procedure 2013-2.

After the transferor seller has completed the firearms transaction, he she must make the completed, original ATF Form 4473 (which includes the Notices, General Instructions, and Definitions), and any supporting documents, part of his her permanent records. Such Forms 4473 must be retained for at least 20 years and after that period may be submitted to ATF. Filing may be chronological (by date of disposition), alphabetical (by name of purchaser), or numerical (by transaction serial number), as long as all of the transferor's seller's completed Forms 4473 are filed in the same manner.

FORMS 4473 FOR DENIED CANCELLED TRANSFERS MUST BE RETAINED: If the transfer of a firearm is denied cancelled by NICS, or if for any other reason the transfer is not completed after a NICS check is initiated, the licensee must retain the ATF Form 4473 in his her records for at least 5 years. Forms 4473 with respect to which a sale, delivery, or transfer did not take place shall be separately retained in alphabetical (by name of transferce) or chronological (by date of transferce) certification) order.

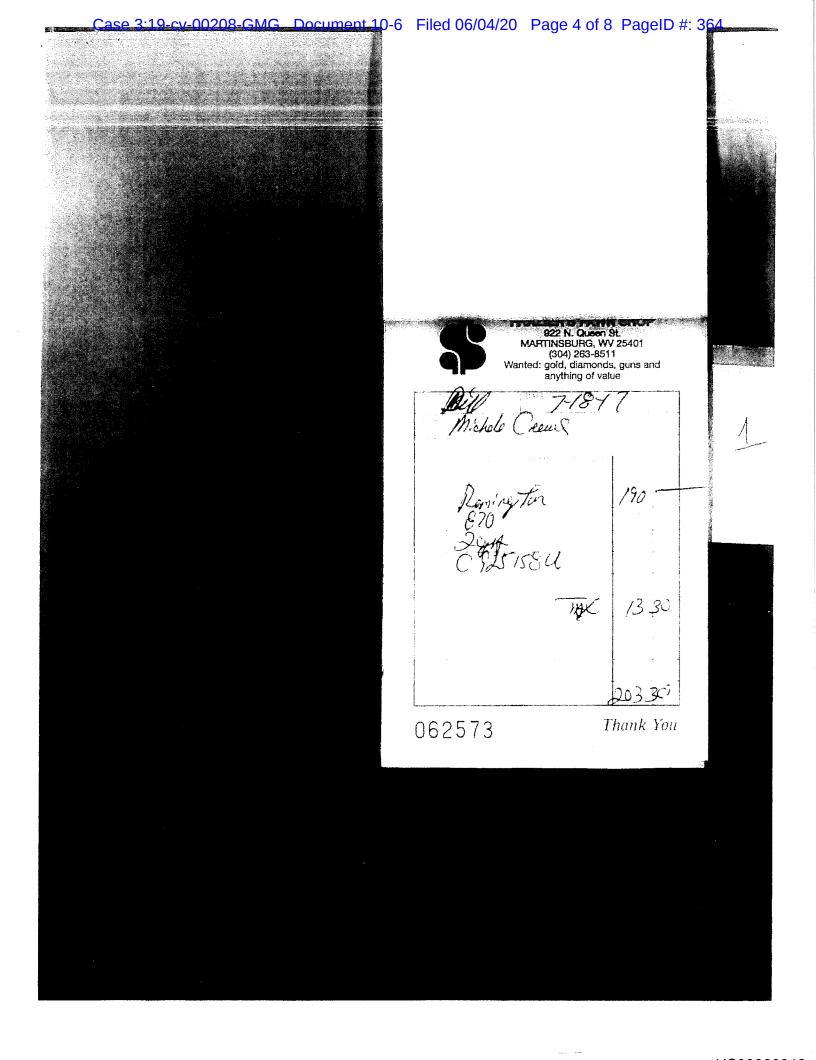
If the transferor seller or the transferee buyer discovers that an ATF Form 4473 is incomplete or improperly completed after the firearm has been transferred, and the transferor seller or the transferee buyer wishes to correct the omission(s) or error(s), photocopy the inaccurate form and make any necessary additions or revisions to the photocopy. The transferor seller should only make changes to Sections B and D. The transferee buyer should only make changes to Section A and C. Whoever made the changes should initial and date the changes. The corrected photocopy should be attached to the original Form 4473 and retained as part of the transferor's seller's permanent records.

**Exportation of Firearms:** The State or Commerce Departments may require a firearms exporter to obtain a license prior to export. **Warning:** Any person who exports a firearm without proper authorization may be fined not more than \$1,000,000 and or imprisoned for not more than 20 years. See 22 U.S.C. 2778(c).

#### Section A

The transferee buyer must personally complete Section A of this form and certify (sign) that the answers are true, correct, and complete. However, if the transferee buyer is unable to read and or write, the answers (other than the signature) may be completed by another person, excluding the transferor seller. Two persons (other than the transferor seller) must then sign as witnesses to the transferee's buyer's answers and signature certification in question 14.

ATF Form 4473 (5300.9) Revised October 2016



# Case 3:19-cv-00208-GMG Document 10-6 Filed 06/04/20 Page 5 of 8 PageID #6\365. 1140-0020

\*Bureau of Alcohol. Tobacco. Firearms and Explosives

## Firearms Transaction Record

Previous Editions Are Obsolete Transferee/Buyer Continue to Next Page ATF Form 4473 (5300.)						
13. If you are an alien, record your U.SIssued Alien or Admission number (.4R#, USCIS#, or 194#):						
12.d.2. If "yes", do you fall within any of the exceptions stated in the instructions?						
12.d.1. Are you an alien who has been admitted to the United States under a nonimmigrant visa? (See Instructions for Question 12.d.)						
12.c. Are you an alien illegally or unlawfully in the United States?		Ø K				
12.b. Have you ever renounced your United States citizenship?	Yes	No No				
United States of America (U.S.4) Other Country Countries (Specify):						
12.a. Country of Citizenship: (Check List more than one, if applicable. Nationals of the United States may check U.S.A.)						
i. Have you ever been <b>convicted</b> in any court of a misdemeanor crime of domestic violence? <i>(See Instructions for Question 11.i.)</i>		$\mathbb{Z}$				
h. Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner? (See Instructions for Question 11.h.)						
g. Have you been discharged from the Armed Forces under dishonorable conditions?						
f. Have you ever been adjudicated as a mental defective <b>OR</b> have you ever been committed to a mental institution? (See Instructions for Question 11.f.)		Ø				
e. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance?  Warning: The use or possession of marijuana remains unlawful under Federal law regardless of whether it has been legalized or decriminalized for medicinal or recreational purposes in the state where you reside.		Ø				
d. Are you a fugitive from justice? (See Instructions for Question 11.d.)		Ø				
c. Have you ever been convicted in any court of a <b>felony</b> , or any other crime for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation? (See Instructions for Question 11.c.)		K				
b. Are you under indictment or information in any court for a <b>felony</b> , or any other crime for which the judge could imprison you for more than one year? ** ** ** ** ** ** ** ** ** ** ** ** **						
are acquiring the firearm(s) on behalf of another person. If you are not the actual transferee/buyer, the licensee cannot transfer the firearm(s) to you. Exception: If you are picking up a repaired firearm(s) for another person, you are not required to answer 11.a. and may proceed to question 11.b. (See Instructions for Question 11.a.)	<b>X</b>					
11. Answer the following questions by checking or marking "yes" or "no" in the boxes to the right of the questions.  a. Are you the actual transferee buyer of the lirearm(s) listed on this form? Warning: You are not the actual transferee/buyer if you	Yes	No				
Hispanic or Latino American Indian or Alaska Native Black or African American Native Hawaiian or Other Pacific Islander  White						
10.a. Ethnicity 10.b. Race (In addition to ethnicity, select one or more race in 10.b. Both 10.a. and 10.b. must be answered.	(.)					
Redacted Instructions for Question 9.) Voo6 2 D K J						
8. Social Security Number (Optional, but will help prevent misidentification) 9. Unique Personal Identification Number (UPIN) if applicable	: (See					
	ľ					
3. Place of Birth 4. Height 6. Sex 7. With Date						
Redacted MARYINSburg Berkeley Wich.	250	401				
Number and Street Address City County State   Z	ZIP Co	ode				
Hottman III William Local  2. Current State of Residence and Address (U.S. Postal abbreviations are acceptable. Cannot be a post office box.)						
1. Transferee's Buyer's Full Name (If legal name contains an initial only, record "IO" after the initial. If no middle initial or name, record "N Last Name (Including suffix (e.g., Jr; Sr. II. III))   First Name   Middle Name   Last N	MY".	. ៛				
located) unless the transaction qualifies under 18 U.S.C. 922(c). All entries must be handwritten in ink. "PLEASE PRINT."  Section A - Must Be Completed Personally By Transferee/Buyer	30	<u>X</u> '				
Read the Notices, Instructions, and Definitions on this form. Prepare in original only at the licensed premises ("licensed premises" includes business temporarily conducted from a qualifying gun show or event in the same State in which the licensed premises is	0	<b>)</b> ,				
determine whether you are prohibited from receiving a firearm. Certain violations of the Gun Control Act, 18 U.S.C. 921 et. seq., are punishable by up to 10 years imprisonment and/or up to a \$250,000 fine.  Transaction Number						
WARNING: You may not receive a firearm if prohibited by Federal or State law. The information you provide will be used to Transferor						

### 

I certify that my answers in Section A are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form

4473. I understand that answering "yes" to question 11.a. if I am not the actual transferee/buyer is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I understand that a person who answers "yes" to any of the questions 11.b. through 11.i and/or 12.b. through 12.c. is prohibited from purchasing or receiving a firearm. I understand that a person who answers "yes" to question 12.d.1. is prohibited from receiving or possessing a firearm, unless the person answers "yes" to question 12.d.2. and provides the documentation required in 18.c. I also understand that making any false or all or written statement, or exhibiting any false or misrepresented identification with respect to this transaction, is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I further understand that the repetitive purchase of firearms for the purpose of resale for livelihood and profit without a Federal firearms license is a violation of Federal law. (See Instructions for Question 14.) 14. Transferee's Buyer's Signature Section B - Must Be Completed By Transferor/Seller 16. Type of firearm(s) to be transferred *Ycheck or mark all that apply)*: 17. If transfer is at a qualifying gun show or event: Other Firearm (frame, receiver, etc. Long Gun Name of Function: \_\_\_\_ (rifles or See Instructions for Question 16.) shotguns) City, State: 18.a.Identification (e.g., Virginia Driver's license (VA DL) or other valid government-issued photo identification.) (See Instructions for Question 18.a.) Number on Identification Expiration Date of Identification (if am) Issuing Authority and Type of Identification Month Day Year 18.b. Supplemental Government Issued Documentation tif identification document does not show current residence address) (See Instructions for Question 18.b.) 18.c. Exception to the Nonimmigrant Alien Prohibition: If the transferee buyer answered "YES" to 12.d.2, the transferor seller must record the type of documentation showing the exception to the prohibition and attach a copy to this ATF Form 4473. (See Instructions for Question 18.c.) Questions 19, 20, or 21 Must Be Completed Prior To The Transfer Of The Firearm(s) (See Instructions for Questions 19, 20 and 21.) 19.b. The NICS or State transaction number (if provided) was: 19.a. Date the transferee's buyer's identifying information in Section A was transmitted to NICS or the appropriate State agency: Month Day 100 BF799H 2017 19.d. The following response(s) was were later received from NICS or the 19.c. The response initially (first) provided by NICS or the appropriate State appropriate State agency: agency was: Overturned Proceed Proceed Delayed [The firearm(s) may be transferred on Denied if State law permits (optional)<sub>)</sub> Cancelled No response was provided within 3 business days. 19.e. (Complete if applicable.) After the firearm was transferred, the following response was received from NICS or the appropriate State agency on: Denied Proceed 19.g. Name of FFL Employee Completing NICS check. (Optional) 19.f. The name and Brady identification number of the NICS examiner. (Optional) (number) No NICS check was required because a background check was completed during the NFA approval process on the individual who will receive 20. the NFA firearm(s), as reflected on the approved NFA application. (See Instructions for Question 20.) No NICS check was required because the transferee buyer has a valid permit from the State where the transfer is to take place, which qualifies 21. as an exemption to NICS. (See Instructions for Question 21.) Date of Issuance (if anv) Expiration Date tif any Permit Number (if any) Issuing State and Permit Type Section C - Must Be Completed Personally By Transferee/Buyer If the transfer of the firearm(s) takes place on a different day from the date that the transferee buyer signed Section A, the transferee buyer must complete Section C immediately prior to the transfer of the firearm(s). (See Instructions for Question 22 and 23.) I certify that my answers to the Auestions in Section A of this form are still true, correct, and complete. 23. Recertification Date Transferee's Buyer's Signature, Transferor/Seller Continue to Next Page STAPLE IF PAGES BECOME SEPARATED

> ATF Form 4473 (5300.9) Revised October 2016

Document 10-6 Filed 06/04/20 Page 7 of 8 PageID #: 367 Section D - Must Be Completed By Transferor /Seller Even If The Firearm(s) is Not Transferred 28. 26. Model Serial Number Type (See Instructions Caliber or Manufacturer and Importer (If any) (If the manufacturer and importer are different, for Question 27.) Gauge (If Designated) the FFL must include both.) 1. 2. 3. 4. REMINDER - By the Close of Business Complete ATF Form 3310.4 For Multiple Purchases of Handguns Within 5 Consecutive Business Days Total Number of Firearms Transferred (Please handwrite by printing e.g., zero, 30. Check if any part of this transaction is a pawn redemption. one, two, three, etc. Do not use numerals.) Line Number(s) From Question 24 Above: 31. For Use by Licensee (See Instructions for Question 31.) 32. Check if this transaction is to facilitate a private party transfer. (See Instructions for Question 32.) 33. Trade/corporate name and address of transferor seller and Federal Firearm License Number (Must contain at least first three and last five digits of FFL Number X-XX-XXXXX.) (Hand stamp may be used.) TRAZICLE PAUS hop GAZ N. Queen St. MARTING WRG W. Va 25404 YS-03-02-8H The Person Transferring The Firearm(s) Must Complete Questions 34-37. 455-003-02-84-01768 For Denied/Cancelled Transactions, the Person Who Completed Section B Must Complete Questions 34-36. I certify that: (1) I have read and understand the Notices, Instructions, and Definitions on this ATF Form 4473; (2) the information recorded in Sections B and D is true, correct, and complete; and (3) this entire transaction record has been completed at my licensed business premises ("licensed premises" includes business temporarily conducted from a qualifying gun show or event in the same State in which the licensed premises is located) unless this transaction has met the requirements of 18 U.S.C. 922(c). Unless this transaction has been denied or cancelled, I further certify on the basis of — (1) the transferee's/buyer's responses in

Section A (and Section C, if applicable); (2) my verification of the identification recorded in question 18 (and my re-verification at the time of transfer, if Section C was completed); and (3) State or local law applicable to the firearms business — it is my belief that it is not unlawful for me to sell, deliver, transport, or otherwise dispose of the firearm(s) listed on this form to the person identified in Section A.

36. Transferor's/Seller's Title

37. Date Transferred

NOTICES, INSTRUCTIONS, AND DEFINITIONS

Transferor's/Seller's Name (Please print) 35. Transferor's/Seller's Signature

Purpose of the Form: The information and certification on this form are designed so that a person licensed under 18 U.S.C. 923 may determine if he she may lawfully sell or deliver a firearm to the person identified in Section A, and to alert the transferee/buyer of certain restrictions on the receipt and possession of firearms. The transferor/seller of a firearm must determine the lawfulness of the transaction and maintain proper records of the transaction. Consequently, the transferor's eller must be familiar with the provisions of 18 U.S.C. 921-931 and the regulations in 27 CFR Parts 478 and 479. In determining the lawfulness of the sale or delivery of a rifle or shotgun to a resident of another State, the transferor/seller is presumed to know the applicable State laws and published ordinances in both the transferor's/selfer's State and the transferee's buyer's State. (See ATF Publication 5300.5, State Laws and Published Ordinances.)

Generally, ATF Form 4473 must be completed at the licensed business premises when a firearm is transferred over-the-counter. Federal law, 18 U.S.C. 922(c), allows a licensed importer, manufacturer, or dealer to sell a firearm to a nonlicensee who does not appear in person at the licensee's business premises only if the transferee buyer meets certain requirements. These requirements are set forth in section 922(c), 27 CFR 478.96(b), and ATF Procedure 2013-2.

After the transferor seller has completed the firearms transaction, he she must make the completed, original ATF Form 4473 (which includes the Notices, General Instructions, and Definitions), and any supporting documents, part of his/her permanent records. Such Forms 4473 must be retained for at least 20 years and after that period may be submitted to ATF. Filing may be chronological (by date of disposition), alphabetical (by name of purchaser), or numerical (by transaction serial number), as long as all of the transferor's/seller's completed Forms 4473 are filed in the same manner.

FORMS 4473 FOR DENIED CANCELLED TRANSFERS MUST BE RETAINED: If the transfer of a firearm is denied cancelled by NICS, or if for any other reason the transfer is not completed after a NICS check is initiated, the licensee must retain the ATF Form 4473 in his/her records for at least 5 years. Forms 4473 with respect to which a sale, delivery, or transfer did not take place shall be separately retained in alphabetical (by name of transferee) or chronological (by date of transferee's certification) order.

If the transferor seller or the transferee buyer discovers that an ATF Form 4473 is incomplete or improperly completed after the firearm has been transferred, and the transferor seller or the transferee buyer wishes to correct the omission(s) or error(s), photocopy the inaccurate form and make any necessary additions or revisions to the photocopy. The transferor/seller should only make changes to Sections B and D. The transferee buyer should only make changes to Section A and C. Whoever made the changes should initial and date the changes. The corrected photocopy should be attached to the original Form 4473 and retained as part of the transferor's seller's permanent records.

Exportation of Firearms: The State or Commerce Departments may require a firearms exporter to obtain a license prior to export. Warning: Any person who exports a firearm without proper authorization may be fined not more than \$1,000,000 and/or imprisoned for not more than 20 years. See 22 U.S.C. 2778(e).

### Section A

The transferee buyer must personally complete Section A of this form and certify (sign) that the answers are true, correct, and complete. However, if the transferee buyer is unable to read and/or write, the answers (other than the signature) may be completed by another person, excluding the transferor seller. Two persons tother than the transferor seller) must then sign as witnesses to the transferee's/buyer's answers and signature certification in question 14.

> ATF Form 4473 (5300.9) Revised October 2016

